

3 March 2015



Australian Government
Australian Skills Quality Authority

Mr Trevor Schwenke
General Manager
TAFE Queensland
100 Bridge Street
TOOWOOMBA QLD 4350

By email to trevor.schwenke@tafe.qld.edu.au

RTO ID: 0526
Audit No: 1007016

Dear Mr Schwenke

Re: Audit finalised

This notice is to advise that the recent strategic review audit conducted on TAFE Queensland has been finalised and that your registered training organisation (RTO) has been noted for its ongoing compliance with the VET Quality Framework as relevant to the scope of the audit.

The findings of this audit will contribute to the records retained of your RTO's compliance history and to the risk rating assigned to your organisation.

A copy of the final audit report is attached for your reference.

Thank you for your organisation's cooperation throughout this audit activity.

You are reminded that an ongoing condition of your registration is compliance with the Standards for NVR Registered Training Organisations.

Further information and assistance

If you require further information or assistance in relation to this matter, please contact the Info Line on telephone 1300 701 801 or by email at enquiries@asqa.gov.au.

Yours sincerely

A handwritten signature in blue ink, appearing to read 'D. Garner'.

DAVID GARNER
Regional Manager Compliance



Audit report – VET Quality Framework

Continuing registration as a national VET regulator (NVR) registered training organisation

ORGANISATION DETAILS

Organisation's legal name	TAFE Queensland
Trading name/s	TAFE Queensland South West
RTO number	0526
CRICOS number	NA

AUDIT TEAM

Lead auditor	Giselle Mawer
Auditor/s	Sarah Dew/Denise Middleton
Technical adviser/s	N/A

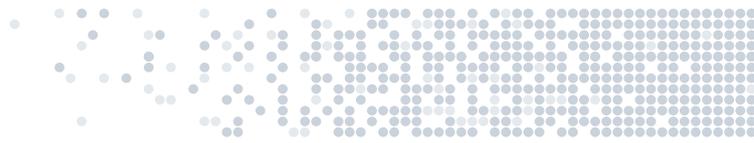
AUDIT DETAILS

Application number/s	N/A
Audit number/s	1007016
Audit reason 1	Other - specify: Strategic Equine Industry Review
Audit reason 2	n/a
Audit reason 3	n/a
Activity type	Site visit
Address of site/s visited	176 Dragon St, Warwick and Geritz Rd, Kingaroy
Date/s of audit	3-4/11/2014
Organisation's contact for audit	Gerry Amos e-mail Gerry.amos@tafe.qld.edu.au Manager, Compliance and Quality Assurance phone (07) 4694 1587
NVR standards audited	Selected Standards for Continuing Registration: 15.2, 15.3, 15.4, 15.5, 16.3, 16.4, 16.5, 16.7, 17.1, 17.2, 17.4, 18.1, 18.2, 20.1, 20.2, 24.1, 25.1, 25.2

BACKGROUND

This review is being conducted as part of the Strategic Industry Review into equine training, under the authority of Section 35 (2) of the National Vocational Education and Training Regulator Act 2011. ASQA is conducting a number of these audits across Australia.

This Review is being conducted because of the quality of the training and assessment provided by some Registered Training Organisations (RTOs), by coroners, regulators, employers and the industry generally. The findings of the Strategic Industry Review will be published. No names of RTOs will be included in the



review report.

Total number of current enrolments in RTO as at audit date:

- 70

AUDIT SAMPLE			
Code	Qualification/Course/Unit name	Mode/s of delivery/assessment*	Current enrolments (If not yet on scope, record N/A)
AHC20110	Certificate II in Agriculture	Employment Based	5
AHC30110	Certificate III in Agriculture	Employment Based	26
AHC30310	Certificate III in Horse Breeding	Face to Face	6

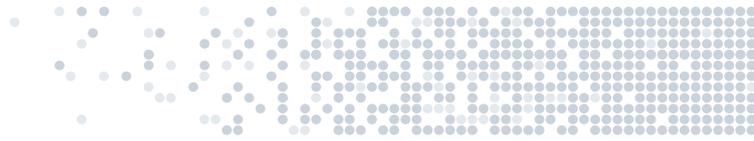
*Apprenticeship, Traineeship, Face to face, Distance, Online, Workplace, Mixed, Other (specify)

INTERVIEWEES		
Name	Position	Qualification/Course/Unit code/s
Debbie Jackson	Faculty Director, Resources and Infrastructure	
Phil Bell	Director, Corporate Services	
Vanessa Kissone	Director, Strategy and People	
Gerry Amos	Manager, Compliance and Quality Assurance	
Peter Schneidwin	LVT Educational Capability	
Veronica Strassburg	Compliance Officer	
Jenni Butler	Director Studies	
Ty Bauer	Teacher	AHC20110, AHC30110 and AHC30310
Ron Trace	Teacher	AHC20110 and AHC30110
Darryl Aspinall	Teacher	AHC20110 and AHC30110
Tamara Geritz	Workplace Training Officer	
Maree Langton	Teacher	

ORIGINAL AUDIT FINDING AT TIME OF AUDIT

Audit finding as at 07/11/2014: Critical non-compliance

- The level of non-compliance considers the potential for an adverse impact on the quality of training and assessment outcomes for students.
- If non-compliance has been identified, this audit report describes evidence of the non-compliance.



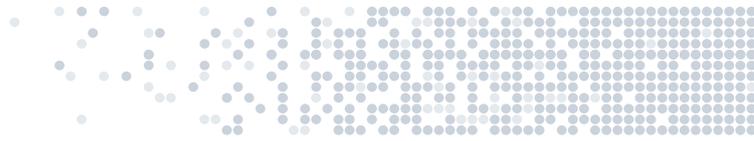
- Refer to notification of non-compliance for information on providing further evidence of compliance.

AUDIT FINDING FOLLOWING ANALYSIS OF RECTIFICATION EVIDENCE

Audit finding following analysis of additional evidence provided on 16/02/2015: Compliant

AUDIT FINDING BY STANDARD

Standard	Original finding	Finding following rectification
SNR 15	Not compliant	Compliant
SNR 16	Not compliant	Compliant
SNR 17	Not compliant	Compliant
SNR 18	Not compliant	Compliant
SNR 19	Not audited	n/a
SNR 20	Not compliant	Compliant
SNR 21	Not audited	n/a
SNR 22	Not audited	n/a
SNR 23/AQF	Not audited	n/a
SNR 24	Not compliant	Compliant
SNR 25	Not audited	n/a



SNR 15 The NVR registered training organisation provides quality training and assessment across all of its operations, as follows:

15.1 The NVR registered training organisation collects, analyses, and acts on relevant data for continuous improvement of training and assessment.

Original finding: Not audited

Following rectification: n/a

15.2 Strategies for training and assessment meet the requirements of the relevant Training Package or VET accredited course and have been developed through effective consultation with industry.

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

The organisation provided a training and assessment strategy for:

- AHC20110 Certificate II in Agriculture
- AHC30110 Certificate III in Agriculture
- AHC30310 Certificate III in Horse Breeding - it is noted that this course is being phased out.

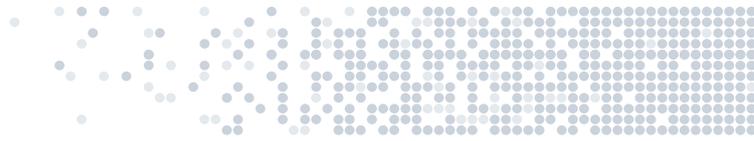
While the strategies addressed Training Package requirements in relation to course structure, they were not consistent with the different strategies implemented for students undertaking traineeships and school based traineeships. The assessment strategy did not provide sufficient evidence to meet the unit requirements, in relation to identifying how practical skills would be assessed.

In order to become compliant, the organisation is required to:

- Provide reviewed Training and Assessment Strategies for AHC20110 Certificate II in Agriculture and AHC30110 Certificate III in Agriculture that clearly identify delivery and assessment arrangements for each of the different proposed target groups and modes of delivery. Where traineeship modes are proposed, each Strategy should clearly identify:
 - delivery schedules, proposed duration and sequencing arrangements,
 - required resources,
 - assessment strategies that demonstrate how the practical application of the requirements of sampled units will be assessed.
 - learner support, monitoring and assessment arrangements.

Analysis of rectification evidence:

- AHC20110 Certificate II in Agriculture
- AHC30110 Certificate III in Agriculture
- The organisation provided updated training and assessment strategies for schools and User Choice programs. The updated training and assessment strategies addressed the following:
 - delivery schedules, proposed duration and sequencing arrangements
 - required resources
 - assessment strategies that demonstrate how the practical application of the requirements of sampled units will be assessed.
 - learner support, monitoring and assessment arrangements.
- The organisation also supplied a qualification study guide and a training plan for each of the above qualifications.



15.3 Staff, facilities, equipment and training and assessment materials used by the NVR registered training organisation are consistent with the requirements of the Training Package or VET accredited course and the NVR registered training organisation's own training and assessment strategies and are developed through effective consultation with industry.

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

- For employment based traineeships, the organisation relies heavily on resources provided in the workplace, yet it was unable to demonstrate that the workplace facilities and equipment or that its training and assessment materials are consistent with the requirements of the Training Package.

In order to become compliant, the organisation is required to:

- Provide evidence to demonstrate how it ensures the resources required in the workplace for trainees to develop and demonstrate competence in the selected units are appropriate and meet training package requirements.
- Provide evidence of a process for ensuring the sufficiency and appropriateness of workplace facilities, equipment, resources and supervision arrangements.
- The above information addressed the identified non-compliance

Analysis of rectification evidence:

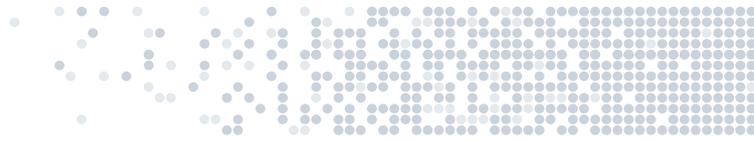
- The organisation provided the following information:
 - User Choice Procedure
 - Apprentice/trainee sign-up checklist
 - Employer resource assessment
 - Student Training Plan
 - Completed Training Plan for a student
 - Completed Apprentice/Trainee checklist for a student
- The above listed information addressed the identified non-compliance

**15.4 Training and assessment is delivered by trainers and assessors who:
(a) have the necessary training and assessment competencies as determined by the National Skills Standards Council or its successors; and
(b) have the relevant vocational competencies at least to the level being delivered or assessed; and
(c) can demonstrate current industry skills directly relevant to the training/assessment being undertaken; and
(d) continue to develop their vocational education and training (VET) knowledge and skills as well as their industry currency and trainer/assessor competence.**

Original finding: Compliant

Following rectification: n/a

**15.5 Assessment including Recognition of Prior Learning (RPL):
(a) meets the requirements of the relevant Training Package or VET accredited course; and**



(b) is conducted in accordance with the principles of assessment and the rules of evidence; and
(c) meets workplace and, where relevant, regulatory requirements; and
(d) is systematically validated.

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

AHC20110 – Certificate II in Agriculture

- **AHCHBR203A Provide Daily Care for Horses** - Assessment tools consisted of a written exam (28 questions) and an observation checklist, requiring demonstration of 'tasks over a period of time', but this is not defined. Mapping matrix shows both assessment tasks as meeting unit performance criteria with a tick, but does not identify which assessment task relates to which aspect of the unit, nor does it show how required knowledge and skills are assessed. A training record book records tasks undertaken, but this is not included as part of the assessment plan.

Assessment processes do not meet the requirements of the Training Package (15.5a), as they do not provide sufficient valid evidence of required skills. They also do not meet the principles of assessment or the rules of evidence (15.5b). Completed assessments sampled for 7 trainees showed they had been assessed as competent, despite incomplete assessment tasks, or lack of assessment by the RTO assessor.

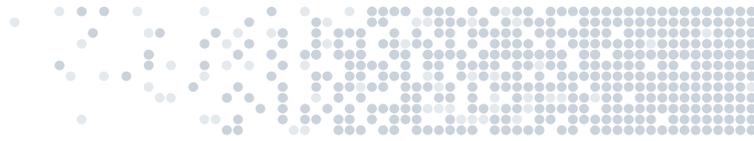
- **AHCLSK212A Ride Horses to carry out Stockwork-** Assessment tools consisted of a written exam (28 questions) and an observation checklist, requiring one observation and responses to 5 supplementary questions. Mapping matrix shows both assessment tasks as meeting unit performance criteria with a tick, but does not identify which assessment task relates to which aspect of the unit, nor does it show how required knowledge and skills are assessed. A training record book records tasks undertaken, but this is not included as part of the assessment plan.

Assessment processes do not meet the requirements of the Training Package (15.5a), as they do not provide sufficient valid evidence of required skills. They also do not meet the principles of assessment or the rules of evidence (15.5b). Completed assessments sampled for 5 trainees showed they had been assessed as competent, despite incomplete written and practical assessment.

AHC30110 Certificate III in Agriculture and AHC30310 Certificate III in Horse Breeding

- **AHCHBR302A Carry out basic hoof care procedure** - Assessment tools consist of 16 questions (written assessment) and a practical observation in the workplace which requires 3 observations but criteria do not reflect unit requirements: *Student must be able to catch and ride horse to demonstrate education of horse. Clean and store working gear. Work and dress horse (rug and dress feet), Catch, saddle and ride horse at walk, trot and canter in figure eight pattern. Wash and rug horse. Clean working gear and return horse to stable (paddock).*

Assessment processes do not meet the requirements of the Training Package (15.5a), as they do not provide sufficient valid evidence of required skills. They also do not meet the principles of assessment or the rules of evidence (15.5b). Completed assessments sampled for 4 trainees showed they had been assessed as competent, despite incomplete



written and practical assessment, observation checklists unsigned and undated, practical assessments completed by workplace supervisor rather than RTO assessor.

- **AHCHBR307A - Assess suitability of horses for stock** - Assessment tools consisted of a written exam (20 questions) and an observation checklist, requiring demonstration of 'tasks over a period of time', but this is not defined.

Mapping matrix shows both assessment tasks as meeting unit performance criteria with a tick, but does not identify which assessment task relates to which aspect of the unit, nor does it show how required knowledge and skills are assessed.

Assessment processes do not meet the requirements of the Training Package (15.5a), as they do not provide sufficient valid evidence of required skills. They also do not meet the principles of assessment or the rules of evidence (15.5b). Completed assessments sampled for 5 trainees showed they had been assessed as competent, despite no evidence of practical assessment.

- **AHCHBR304A Educate, ride and care for horses** - Assessment tools consisted of a written exam (16 questions) and an observation checklist, requiring demonstration over 3 occasions, with 4 supplementary questions. Mapping matrix shows both assessment tasks as meeting unit performance criteria with a tick, but does not identify which assessment task relates to which aspect of the unit, nor does it show how required knowledge and skills are assessed. A training record book records tasks undertaken, but this is not included as part of the assessment plan.

Assessment processes do not meet the requirements of the Training Package (15.5a), as they do not provide sufficient valid evidence of required skills. They also do not meet the principles of assessment or the rules of evidence (15.5b). Completed assessments sampled for 2 trainees showed they had been assessed as competent, despite insufficient evidence of the required demonstrations, and assessment of one of the trainees by the workplace supervisor rather than the RTO assessor.

The RTO was unable to demonstrate systematic validation of its tools, as some of the tools dated from 2010. Validation of the 5 sampled units was undertaken on 23 October 2014, but the outcomes are yet to be finalised and implemented.

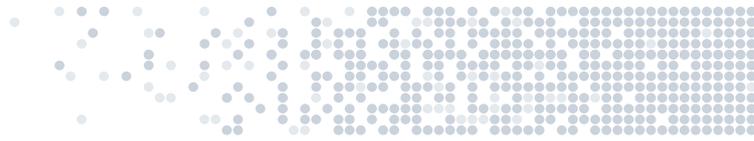
In order to become compliant, the organisation is required to:

AHC20110 – Certificate II in Agriculture

- **AHCHBR203A Provide Daily Care for Horses**
- **AHCLSK212A Ride Horses to carry out Stockwork**

AHC30110 Certificate III in Agriculture and AHC30310 Certificate III in Horse Breeding

- **AHCHBR302A Carry out basic hoof care procedure**
- **AHCHBR307A Assess suitability of horses for stock**
- **AHCHBR304A Educate, ride and care for horses**
- provide a complete set of assessment materials for the above 5 units that meet the principles of assessment, the rules of evidence and the required skills and knowledge requirements of the training package. The assessment materials must include, or be accompanied by, guidance to assessors to enable them to make consistent judgements about competence and information to students and workplace supervisors about the



- assessment process.
 - provide evidence to demonstrate how it will ensure that all assessments are conducted in accordance with the principles of assessment and rules of evidence
 - provide evidence to demonstrate how it will ensure that its assessments are systematically validated.
-

Analysis of rectification evidence:

AHC20110 – Certificate II in Agriculture

- **AHCHBR203A Provide Daily Care for Horses**
- **AHCLSK212A Ride Horses to carry out Stockwork**

AHC30110 Certificate III in Agriculture and AHC30310 Certificate III in Horse Breeding

- **AHCHBR302A Carry out basic hoof care procedure**
- **AHCHBR307A Assess suitability of horses for stock**
- **AHCHBR304A Educate, ride and care for horses**

- The organisation provided the following evidence:
 - complete assessment tools for the units listed above
 - complete assessment validations
 - qualification study guides for AHC20110 and AHC30110 which outlined general course information and assessment processes
 - validation schedule
 - audit procedure including flowchart, student results verification audit to ensure validity effective record keeping

The assessment for **AHCHBR203A Provide Daily Care for Horses** consisted of the following:

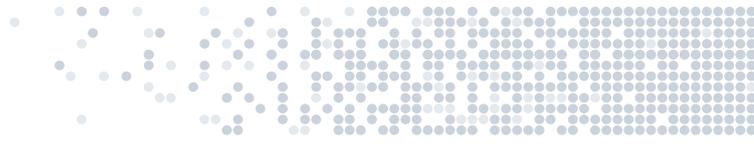
- horse specific safety assessment
- written theory assessment
- practical observation
- direct observation
- mapping
- benchmarks/sample answers
- validation
- RPL kit

The assessment for **AHCLSK212A Ride Horses to carry out Stockwork** consisted of the following:

- horse specific safety assessment
- written theory assessment
- practical observation
- direct observation
- mapping
- benchmarks/sample answers
- validation
- RPL kit

The assessment for **AHCHBR302A Carry out basic hoof care procedures** consisted of the following:

- horse specific safety assessment
- written theory assessment
- practical observation
- direct observation
- mapping
- benchmarks/sample answers
- validation



- RPL kit

AHC20110 – Certificate II in Agriculture

- **AHCHBR203A Provide Daily Care for Horses**
- **AHCLSK212A Ride Horses to carry out Stockwork**

AHC30110 Certificate III in Agriculture and AHC30310 Certificate III in Horse Breeding

- **AHCHBR302A Carry out basic hoof care procedure**
- **AHCHBR307A Assess suitability of horses for stock**
- **AHCHBR304A Educate, ride and care for horses**
- The organisation provided the following evidence:
 - complete assessment tools for the units listed above
 - complete assessment validations
 - qualification study guides for AHC20110 and AHC30110 which outlined general course information and assessment processes
 - validation schedule
 - audit procedure including flowchart, student results verification audit to ensure validity
 - effective record keeping

The assessment for **AHCHBR203A Provide Daily Care for Horses** consisted of the following:

- horse specific safety assessment
- written theory assessment
- practical observation
- direct observation
- mapping
- benchmarks/sample answers
- validation
- RPL kit

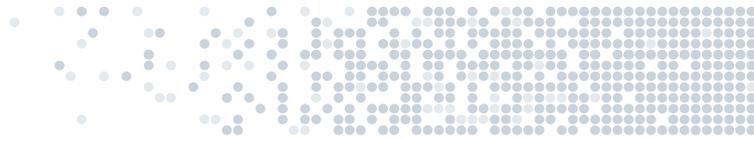
The assessment for **AHCLSK212A Ride Horses to carry out Stockwork** consisted of the following:

- horse specific safety assessment
- written theory assessment
- practical observation
- direct observation
- mapping
- benchmarks/sample answers
- validation
- RPL kit

The assessment for **AHCHBR302A Carry out basic hoof care procedures** consisted of the following:

- horse specific safety assessment
- written theory assessment
- practical observation
- direct observation
- mapping
- benchmarks/sample answers
- validation
- RPL kit

The assessment for **AHCHBR307A Assess suitability of horses for stock work** consisted of the following:



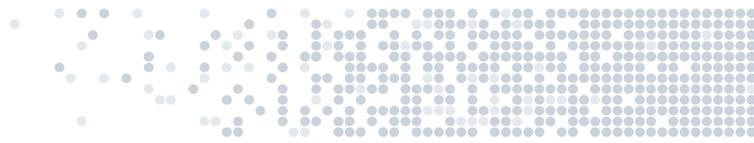
- horse specific safety assessment
- written theory assessment
- practical observation
- direct observation
- mapping
- benchmarks/sample answers
- validation
- RPL kit

The assessment for **AHCHBR304A Educate, ride and care for horses** consisted of the following:

- horse specific safety assessment
- written theory assessment
- practical observation
- direct observation
- mapping
- benchmarks/sample answers
- validation
- RPL kit

The assessment tools met the requirement of the units.

SNR 16	The NVR registered training organisation adheres to principles of access and equity and maximises outcome for its clients, as follows:
16.1	The NVR registered training organisation establishes the needs of clients, and delivers services to meet these needs.
Original finding:	Not audited
Following rectification:	n/a
16.2	The NVR registered training organisation continuously improves client services by collecting, analysing and acting on relevant data.
Original finding:	Not audited
Following rectification:	n/a
16.3	Before clients enrol or enter into an agreement, the NVR registered training organisation informs them about the training, assessment and support services to be provided, and about their rights and obligations.
Original finding:	Not compliant
Following rectification:	Compliant
<i>Reasons for finding of non-compliance:</i>	
<ul style="list-style-type: none">• Marketing information sighted was inconsistent with Training and Assessment Strategies implemented, and did not provide sufficient information to clients about the training and assessment services to be provided and their rights and obligations. For example, information about the structure of the course, its duration, mode of delivery, monitoring and support arrangements and respective responsibilities for the provision of facilities and equipment.	



In order to become compliant, the organisation is required to:

- Submit evidence of the information provided to employers and students prior to enrolling or entering into an agreement about the training, assessment and support services to be provided, and about their rights and obligations.

Analysis of rectification evidence:

- The organisation provided the following information:
 - complete student information guide
 - summary sheet for employer and student for AHC20110 Certificate II in Agriculture
 - summary sheet for employer and student for AHC30110 Certificate III in Agriculture
 - summary sheet for AHC20110 Certificate II in Agriculture (School Students)
 - TAFE Queensland student rules
 - how to make a complaint
 - apprentice/trainee sign-up checklist

The above information contained sufficient information for employers and students to make an informed decision prior to enrolling with the organisation.

16.4 Employers and other parties who contribute to each learner's training and assessment are engaged in the development, delivery and monitoring of training and assessment.

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

There was little evidence of how workplace employers and supervisors have been/are engaged in developing, delivering and monitoring of training and assessment in their workplaces, and in some completed student records sighted, there was no evidence of workplace visits or contact with the employer.

In order to become compliant, the organisation is required to:

- provide evidence that employers and other parties who contribute to training and assessment are engaged in the development, delivery and monitoring of training and assessment.

Analysis of rectification evidence:

- The organisation provided the following information:
 - apprentice/trainee sign-up checklist
 - employer responsibilities fact sheet
 - training record book – AHC20110 Certificate II in Agriculture (task based)
 - training record book - AHC30110 Certificate III in Agriculture (task based)
 - detailed training plan (Joshua Walshe)
- The above information addressed the identified non-compliance

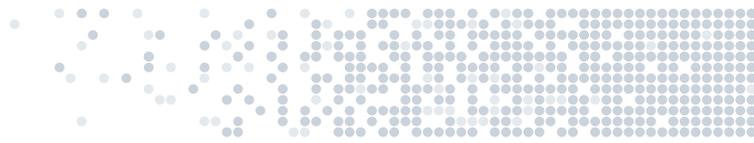
16.5 Learners receive training, assessment and support services that meet their individual needs.

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

- While the organisation was able to demonstrate support services for some students, this was not consistent, with little evidence of contact visits or phone/email contacts for most of the 17 student records sampled.



In order to become compliant, the organisation is required to:

- Provide evidence of how it will consistently ensure that all learners receive training, assessment and support services that meet their individual needs.

Analysis of rectification evidence:

- The organisation provide the following rectification evidence:
 - student orientation checklist
 - student orientation fact sheet
 - Queensland User Choice Procedure
 - apprentice/trainee sign-up checklist
 - learner needs assessment
 - student support procedure
 - student support plan
 - trainee visit schedule 2015
 - professional development schedule for trainers/assessor (19/1/2015 to 23/01/2015)
- The above information addressed the identified non-compliance

16.6	Learners have timely access to current and accurate records of their participation and progress.
Original finding: Not audited	Following rectification: n/a

16.7	The NVR registered training organisation provides appropriate mechanisms and services for learners to have complaints and appeals addressed efficiently and effectively.
Original finding: Not audited	Following rectification: n/a

SNR 17 Management systems are responsive to the needs of clients, staff and stakeholders, and the environment in which the NVR registered training organisation operates, as follows:

17.1	The NVR registered training organisation’s management of its operations ensures clients receive the services detailed in their agreement with the NVR registered training organisation.
Original finding: Not compliant	Following rectification: Compliant

Reasons for finding of non-compliance:

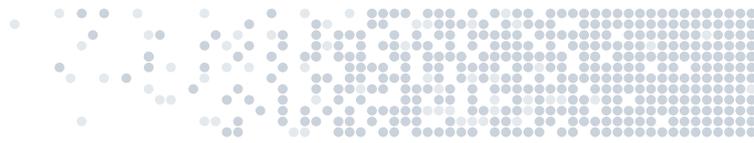
- As noted under standard 16.4 and 17.4, there was evidence that the RTO is not ensuring that all clients receive the services detailed in their agreement, with little or no evidence of workplace visits and contacts with learners in the workplace.

In order to become compliant, the organisation is required to:

- Provide evidence of how, through the management of its operations, it ensures that clients receive the services detailed in their agreement with the organisation.

Analysis of rectification evidence:

- The organisation provided the following rectification evidence:
- terms of reference (strategic executive management team)
 - terms of reference (audit, risk, finance committee)
 - terms of reference (academic oversight committee)
 - terms of reference (work, health and safety committee)



- meeting agenda (audit risk, finance committee)
 - annual audit plan (2014)
 - document control procedures
 - audit process
 - internal calendar – quality control meetings
 - education communication corridor meeting agenda
 - professional development schedule for trainers/assessor (19/1/2015 to 23/01/2015)
- The above information addressed the identified non-compliance

17.2 The NVR registered training organisation uses a systematic and continuous improvement approach to the management of operations.

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

- As noted under 15.5, 16.4 and 17.4, the evidence provided identified that, while the organisation has collected some data from relevant stakeholders, little evidence was provided that the data has been analysed, and used to identify and implement improvements to the management of operations.

In order to become compliant, the organisation is required to:

- provide evidence of how it will, in future, collect and analyse relevant data and how this analysis will be used to identify and implement improvements to management of its operations.

Analysis of rectification evidence:

- The organisation provided the following evidence:
 - sample training and assessment strategy
 - employer course evaluation survey
 - rural studies student course evaluation survey
 - agenda for resources and infrastructure faculty team meeting
 - schedule for rural team meetings for 2015
 - sample of emails (appointments)
 - calendar for proposed meeting
 - TAFE Queensland's Industry and Employer Engagement Framework 2014-16
- The above information addressed the identified non-compliance

17.3 The NVR registered training organisation monitors training and/or assessment services provided on its behalf to ensure that it complies with all aspects of the VET Quality Framework.

Original finding: Not audited

Following rectification: n/a

17.4 The NVR registered training organisation manages records to ensure their accuracy and integrity.

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

- The audit sampled 17 student records from Warwick, Kingaroy and Roma campuses, which indicated a number of incomplete enrolment, assessment and monitoring records, as noted



under 15.5, 16.4 and 16.5. There was evidence that the organisation is not implementing its own records management procedure, or the ASQA General direction: Retention requirements for completed student assessment items.

In order to become compliant, the organisation is required to:

- provide evidence that the organisation manages enrolment, assessment and monitoring records to ensure their accuracy and integrity.

Analysis of rectification evidence:

- The organisation provided the following information:
 - delivery package guideline (GL005)
 - delivery planning guideline (GL006)
 - recordkeeping procedure (Pro34)
 - what to keep on a student file for assessment
 - archival/destruction of records
 - audit (Pro32)
 - student file audit checklist
 - results of verification audit sample for Oct – Dec 2014
- The above information addressed the identified non-compliance

SNR 18 The NVR registered training organisation has governance arrangements in place as follows:

18.1 The NVR registered training organisation’s Chief Executive must ensure that the NVR registered training organisation complies with the VET Quality Framework. This applies to all of the operations within the NVR registered training organisation’s scope of registration, as listed on the National Register.

Original finding: Not compliant **Following rectification:** Compliant

Reasons for finding of non-compliance:

- Non compliances were noted at audit with standards 15, 16, 17, 20 and 24

In order to become compliant, the organisation is required to:

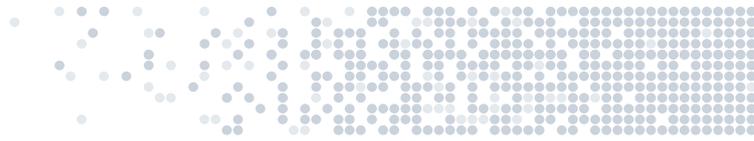
- Provide rectifications to address the non-compliances identified in standards 15.2, 15.3, 15.5, 16.3, 16.4, 16.5, 17.1, 17.2, 17.4, 20.1, 20.2 and 24.1. This standard will become compliant when all identified non-compliances have been addressed.

Analysis of rectification evidence:

- The rectification evidence provided by the organisation addressed the non-compliance identified in standards 15.2, 15.3, 15.5, 16.3, 16.4, 16.5, 17.1, 17.2, 17.4, 20.1, 20.2 and 24.1; hence the organisation is now compliant with this standard.

18.2 The NVR registered training organisation must also explicitly demonstrate how it ensures the decision making of senior management is informed by the experiences of its trainers and assessors.

Original finding: Compliant **Following rectification:** n/a



SNR 19 Interactions with the National VET Regulator

19.1 The NVR registered training organisation must co-operate with the National VET Regulator:
(a) in the conduct of audits and the monitoring of its operations;
(b) by providing accurate and timely data relevant to measures of its performance;
(c) by providing information about significant changes by its operations;
(d) by providing information about significant changes to its ownership; and
(e) in the retention, archiving, retrieval and transfer of records consistent with National VET Regulator's requirements.

Original finding: Not audited

Following rectification: n/a

SNR 20 Compliance with legislation

20.1 The NVR registered training organisation must comply with relevant Commonwealth, State or Territory legislation and regulatory requirements relevant to its operations and its scope of registration.

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

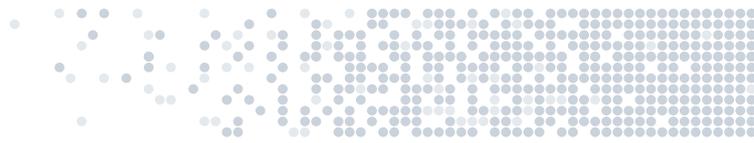
- As noted under 15.3 and 16.4, the organisation does not have a clearly defined process to consistently ensure the safety of learners in the workplace. It is noted that a risk assessment is currently being developed for equine units delivered face to face.
- Sampled student records also indicated the organisation does not have clear processes for dealing with potential conflicts of interest between trainees and staff, e.g. Z. M.'s induction had been undertaken by his parent, who is also a teacher, the Training Plan was unsigned, and it was unclear how he was deemed eligible to be issued with Certificate III in Agriculture, based on the number of missing assessments in his file.

In order to become compliant, the organisation is required to provide evidence to demonstrate how it will consistently ensure:

- adequate and safe resources and supervision arrangements in the workplace for its trainees
- potential conflicts of interest are dealt with.

Analysis of rectification evidence:

- The organisation provided the following information:
 - work, health, safety and wellbeing statement of commitment
 - demonstrating due diligence – TAFE Queensland officers
 - work health and safety policy
 - instruction for managers on workplace health and safety policies, procedures and instructions
 - instruction for trainers/assessors on workplace health and safety policies, procedures and instructions
 - instructions for students on workplace health and safety policies, procedures and instructions
 - Queensland User Choice Procedure
 - apprentice/trainee sign-up checklist
 - employer resource assessment
 - student training plan
 - risk assessment



- hazard inspection checklist – rural worksites
 - participation in practical horse activities acknowledgement of risk
 - code of conduct – for the Queensland Public Service
 - TAFE Queensland standard of practice
 - form for resolving or managing a conflict of interest
 - staff development portal
- The above information addressed the identified non-compliance

20.2 The NVR registered training organisation must ensure that its staff and clients are fully informed of legislative and regulatory requirements that affect their duties or participation in vocational education and training.

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

- As noted under 15.3, 16.3 and 16.4, the organisation was not able to demonstrate that it ensures its clients are fully informed of relevant legislative and regulatory requirements relating to Workplace Health and Safety.

In order to become compliant, the organisation is required to:

- Provide evidence to demonstrate that its clients are fully informed of legislative and regulatory requirements that affect their duties or participation in vocational education and training.

Analysis of rectification evidence:

- The organisation provided a student information guide which makes reference to various pieces of legislation which affect the learners participation in vocational education.
- The organisation provide a code of practice for the horse industry which outlines legislative and regulatory requirements relating to Workplace Health and Safety which affects their clients duties or participation in vocational education and training.
- The organisation also provided a qualification study guide, unit of competency guide and a guide to managing risks when new and inexperienced persons interact with horses which also outlines appropriate pieces of legislation and regulatory requirements.

SNR 21 Insurance

21.1 The NVR registered training organisation must hold public liability insurance throughout its registration period.

Original finding: Not audited

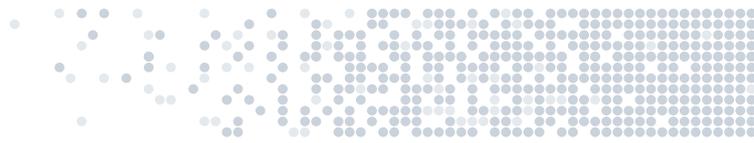
Following rectification: n/a

SNR 22 Financial management

22.1 The NVR registered training organisation must be able to demonstrate to the National VET Regulator, on request, that it is financially viable at all times during the period of its registration.

Original finding: Not audited

Following rectification: n/a



- 22.2** The NVR registered training organisation must provide the following fee information to each client:
- (a) the total amount of all fees including course fees, administration fees, materials fees and any other charges;
 - (b) payment terms, including the timing and amount of fees to be paid and any non-refundable deposit/administration fee;
 - (c) the nature of the guarantee given by the NVR registered training organisation to complete the training and/or assessment once the student has commenced study in their chosen qualification or course;
 - (d) the fees and charges for additional services, including such items as issuance of a replacement qualification testamur and the options available to students who are deemed not yet competent on completion of training and assessment; and
 - (e) the organisation's refund policy.

Original finding: Not audited

Following rectification: n/a

- 22.3** Where the NVR registered training organisation collects student fees in advance it must ensure it complies with one of the following acceptable options:
- (a) (Option 1) the NVR registered training organisation is administered by a State, Territory or Commonwealth government agency;
 - (b) (Option 2) the NVR registered training organisation holds current membership of an approved Tuition Assurance Scheme;
 - (c) (Option 3) the NVR registered training organisation may accept payment of no more than \$1000 from each individual student prior to the commencement of the course. Following course commencement, the NVR registered training organisation may require payment of additional fees in advance from the student but only such that at any given time, the total amount required to be paid which is attributable to tuition or other services yet to be delivered to the student does not exceed \$1,500;
 - (d) (Option 4) the NVR registered training organisation holds an unconditional financial guarantee from a bank operating in Australia for no less than the full amount of funds held by the NVR registered training organisation which are prepayments from students (or future students) for tuition to be provided by the NVR registered training organisation to those students; or
 - (e) (Option 5) the NVR registered training organisation has alternative fee protection measures of equal rigour approved by the National VET Regulator.

Original finding: Not audited

Following rectification: n/a

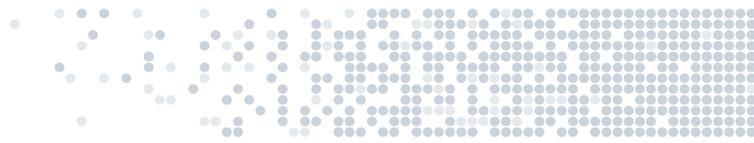
SNR 23 Certification, issuing and recognition of qualifications & statements of attainment

- 23.1** The NVR registered training organisation must issue to persons whom it has assessed as competent in accordance with the requirements of the Training Package or VET accredited course, a VET qualification or VET statement of attainment (as appropriate) that:
- (a) meets the Australian Qualifications Framework (AQF) requirements;
 - (b) identifies the NVR registered training organisation by its national provider number from the National Register and
 - (c) includes the NRT logo in accordance with its current conditions of use.

Original finding: Not audited

Following rectification: n/a

23.2 The NVR registered training organisation must recognise the AQF and VET qualifications



and VET statements of attainment issued by any other RTO.

Original finding: Not audited

Following rectification: n/a

23.3 The NVR registered training organisation must retain client records of attainment of units of competency and qualifications for a period of 30 years.

Original finding: Not audited

Following rectification: n/a

23.4 The NVR registered training organisation must provide returns of its client records of attainment of units of competency and VET qualifications to the National VET Regulator on a regular basis, as determined by the National VET Regulator. [no requirements currently exist]

This element was not audited.

23.5 The NVR registered training organisation must meet the requirements for implementation of a national unique student identifier. [no requirements currently exist]

This element was not audited.

SNR 24 Accuracy and integrity of marketing

24.1 The NVR registered training organisation must ensure its marketing and advertising of AQF and VET qualifications to prospective clients is ethical, accurate and consistent with its scope of registration.

Original finding: Not compliant

Following rectification: Compliant

Reasons for finding of non-compliance:

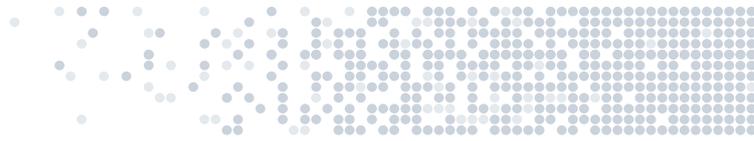
- Inconsistencies were identified with marketing information sighted on the website and the implemented Training and Assessment Strategies. They included inconsistencies in relation to mode of delivery, course duration and structure.

In order to become compliant, the organisation is required to:

- Provide reviewed marketing materials for AHC20110 Certificate II in Agriculture and AHC30110 Certificate III in Agriculture which demonstrate that its marketing materials are accurate.

Analysis of rectification evidence:

- The organisation provided the following information:
 - course details from the website for AHC20110 Certificate II in Agriculture (School Students)
 - course details from the website for AHC20110 Certificate II in Agriculture
 - course details from the website for AHC30110 Certificate III in Agriculture
 - training and assessment strategies for AHC20110 and AHC30110
 - qualification study guide for AHC20110 and AHC30110
- The information provided addressed the identified non-compliance.



24.2	The NVR registered training organisation must use the NRT logo only in accordance with its conditions of use.
Original finding: Not audited	Following rectification: n/a
SNR 25 Transition to Training Packages/expiry of VET accredited courses	
25.1	The NVR registered training organisation must manage the transition from superseded Training Packages within 12 months of their publication on the National Register so that it delivers only currently endorsed Training Packages.
Original finding: Compliant	Following rectification: n/a
25.2	The NVR registered training organisation must manage the transition from superseded VET accredited courses so that it delivers only currently endorsed Training Packages or currently VET accredited courses.
Original finding: Compliant	Following rectification: n/a